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PTO/SB/21 (08-03)

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/773,802	
	Filing Date	February 6, 2004	
	First Named Inventor	Jongik WON	
	Art Unit	2818	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	6	Attorney Docket Number	373722002110

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement - 3 pages <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO-1449 - 2 pages Return receipt postcard
<div>Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	MORRISON & FOERSTER LLP (Customer No. 25226) Mika Mayer - 47,777
Signature	
Date	July 13, 2004

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.	
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PATENT  
Docket No.373722002110

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*Patricia M. Ellison*

Patricia M. Ellison

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Jongik WON et al.

Serial No.: 10/773,802

Filing Date: February 06, 2004

For: METHODS FOR ETCH LOADING  
PLANAR LIGHTWAVE CIRCUITS

Examiner: Not Yet Assigned

Group Art Unit: 2818

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 09/902,960 filed July 10, 2001, and, accordingly, copies are not included herewith. This protocol conforms with 37 C.F.R. § 1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \_\_\_ is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a check in the amount of \_\_\_ is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

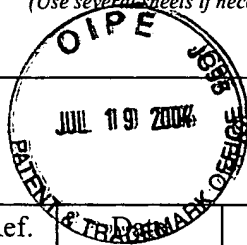
In the unlikely event that the transmittal form is separated from this document and the Patent Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. §1.17(p)) is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing 373722002110. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: July 13, 2004

Respectfully submitted,

By:   
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<b>Form PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b> <b>IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>	Docket Number 373722002110	Application Number 10/773,802
	Applicant Jongik WON et al.	
	Filing Date February 06, 2004	Group Art Unit 2818
	Mailing Date July 15, 2004	



## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	10/08/1996	5,562,768	Ouwerkerk			
	2.	04/08/1997	5,618,757	Bothra et al.			
	3.	06/17/1997	5,639,697	Weling et al.			
	4.	12/02/1997	5,694,496	Ando et al.			
	5.	06/30/1998	5,772,906	Abraham			
	6.	10/13/1998	5,822,481	Mestric			
	7.	11/24/1998	5,841,919	Akiba et al.			
	8.	12/29/1998	5,854,125	Harvey			
	9.	05/04/1999	5,899,706	Kluwe et al.			
	10.	05/04/1999	5,901,259	Ando et al.			
	11.	06/22/1999	5,915,201	Chang et al.			
	12.	06/29/1999	5,917,981	Kovacic et al.			
	13.	07/13/1999	5,923,563	Lavin et al.			
	14.	08/17/1999	5,940,555	Inaba et al.			
	15.	10/12/1999	5,965,941	Weling et al.			
	16.	10/12/1999	5,966,493	Wagoner et al.			
	17.	11/09/1999	5,982,960	Akiba et al.			
	18.	11/16/1999	5,987,208	Grüning et al.			
	19.	09/12/2000	6,117,346	Kawaguchi et al.			
	20.	04/23/2002	6,377,723	Saito et al.			

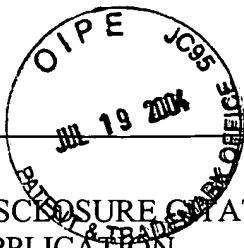
## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	21.	11/09/1994	EP 0 623 830	Europe			
	22.	08/28/1992	JP 04-241304	Japan			Abstract

EXAMINER:

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<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	Docket Number 373722002110	Application Number 10/773,802
	Applicant  Jongik WON et al.	
	Filing Date February 06, 2004	Group Art Unit 2818
	Mailing Date July 15, 2004	

	23.	04/07/1995	JP 07-92326	Japan			Abstract	
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**OTHER DOCUMENTS**

*(including author, title, Date, Pertinent Pages, Etc.)*

Examiner Initials	Ref. No.	Title
	24.	Lam, J. and Zhao, L. "Design Trade-Offs For Arrayed Waveguide Grating DWDM MUX/DEMUX," (9 pages total).
	25.	Miya T. (2000) "Silica-Based Planar Lightwave Circuits: Passive and Thermally Active Devices," <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 6(1):38-45.

<b>EXAMINER:</b>	<b>DATE CONSIDERED:</b>
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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.